

PROSKAUER ROSE LLP

RECEIVED  
CENTRAL FAX CENTER

JUN 29 2005

1585 Broadway  
New York, NY 10036-6299  
Telephone 212.969.3000  
Fax 212.969.2900LOS ANGELES  
WASHINGTON  
BOSTON  
BOCA RATON  
NEWARK  
NEW ORLEANS  
PARIS

Date June 29, 2005 Client/Matter 74622-040

Total Pages (Including Cover)

3

Fax Transmittal

From

John C. Stellabotte

Sender's Voice Number

212.969.3413

Sender's Room Number 17-44

Sender's Email Address

jstellabotte@proskauer.com

Main Fax Number 212.969.2900

To:

Examiner: Jagdish Patel

Fax No.: 703-872-9306

Company: United States Patent and Trademark Office - Group Art Unit 3624

Voice No.: (571)272-6748

Message

Re: Inventor : Lawrence P. Shields, et al.  
Serial No. : 09/779,114  
Filing Date : February 8, 2001  
Title : SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE  
PURSUANT TO STOCK OPTION...  
Att'y Docket : 74622-040

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

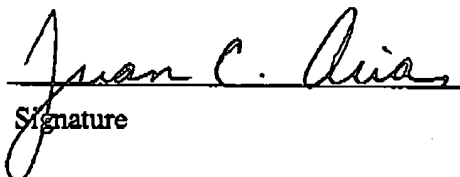
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

FACSIMILE TRANSMISSION CERTIFICATE

I hereby certify that these papers are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Juan C. Arias

Name of person signing the certification

 June 29, 2005

Signature

Date

Confidentiality Note: This message is confidential and intended only for the use of the addressee(s) named above. It may contain legally privileged material. Dissemination, distribution or copying of this message, other than by such addressee(s), is strictly prohibited. If you have received this message in error, please immediately notify us by telephone and return the original to us at the address above. We will reimburse you for the cost of the telephone call and postage. Thank you.

**THIS PAGE BLANK (USPTO)**

PTO/SB/28 (09-04)

Approved for use through 07/31/2009. OLC# 0281-0081  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Lawrence P. Shields, et al.Application No./Patent No.: 09/779,114 Filed/Issue Date: February 8, 2001Entitled: **SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO STOCK OPTION...**UBS Financial Services, Inc. a Corporation

(Name of Applicant/Patent Owner) (Type of Entity: e.g., Corporation, Partnership, Limited Liability Company, Government Agency, etc.)

State that it is:

☒ An original invention of the applicant/patent owner, and the inventor(s).☐ Not an original invention of the applicant/patent owner, and the inventor(s).  
The extent (by percentage) of its ownership interest is: \_\_\_\_\_ %

In this patent application, the invention claimed is claimed by virtue of either:

☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_ Frame \_\_\_\_\_ or for which a copy thereof is attached.

OR

☐ A joint invention of the applicant/patent owner and one or more other persons, who are identified as follows below:1. From: UBS Financial Services, Inc. To: UBS Financial Services, Inc.  
The document was recorded in the United States Patent and Trademark Office at  
Reel 011809 Frame 0887 or for which a copy thereof is attached.2. From: UBS Financial Services, Inc. To: UBS Financial Services, Inc.  
The document was recorded in the United States Patent and Trademark Office at  
Reel 014407 Frame 0729 or for which a copy thereof is attached.3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_ Frame \_\_\_\_\_ or for which a copy thereof is attached.☐ Additional statements in the chain of title are listed as follows below:☐ Notice of assignment or other information to the chief of the office is attached.

NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR 3.73(b), if the assignment is to be recorded in the USPTO. See MPEP 302.09.

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

Gregg L. Goldman

Printed or Typed Name

Director and Senior Counsel, UBS Financial Services, Inc.

Title

Date

6/22/95

203.718.3099

Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to be (and by the USPTO to process) an application. Confidentiality is governed by 39 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1460, Alexandria, VA 22313-1460. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

BEST AVAILABLE COPY